

Reprogramming Actions

Reprogramming actions are changes in the application of financial resources. Reprogramming actions cannot be submitted to the Congress unless the added requirement is for a higher priority item than the item that was originally appropriated (based on unforeseen military requirements) or if Congress has denied the item. There are 4 vehicles that can be used to obtain approval of reprogramming actions:

1. Letter Transfers. Letter transfers are processed for those accounts for which congressional language specifies where the money goes (as opposed to DD 1415 actions, which are processed for those transfers for which the Department decides where the money goes, such as drug transfers). Letter transfers can also be used for transfers for the Homeowners Assistance Program.

2. DD 1415-1, Prior Approval (PA). Prior approval of the congressional committees is required on an action involving the application of funds, regardless of amount, which involve:

- Procurement quantity increase of a major end item (unless specific congressional language allows additional quantities).
- Affects a congressional special interest (unless the funds will be used for the same purpose; then an IR is used). Exception: RDT&E, DW Ballistic Missile Defense Agency < \$10 million.
- Involves the use of general transfer authority (GTA) (unless the funds will be used for the same purpose; then an IR is used).
- Exceeds thresholds.
 - a. Military Personnel: Increase of \$10 million or more in a budget activity.
 - b. Operation and Maintenance: Increase of \$15 million or more in a budget activity.
Exception is the Defense Health Program O&M; PA is required for cumulative transfers in excess of \$25 million into the Private Sector Care activity group.
 - c. Procurement: For any program year:
 - (1) Increase of \$10 million or more in a procurement line item, subprogram, or modification;
 - (2) Decrease of \$10 million or more; or 20 percent of the appropriated amount, whichever is greater;
 - d. RDT&E: For any program year.
 - (1) Increase of \$4 million or more in an existing program element;
Exception is the Ballistic Missile Defense Agency; PA is required for increases greater than \$10 million.
 - (2) Decrease of \$4 million or more; or 20 percent of the appropriated amount, whichever is greater.
- New Starts.
New procurement program, subprogram, modification, RDT&E program, RDT&E project, or RDT&E subproject estimated to cost \$10 million or more (both RDT&E and procurement) within the first 3 years. Exceptions are safety modifications costing less than \$10 million.
- New Line Items (for any program year).
 - a. Establishes new procurement line item, subprogram, or modification of \$2 million or more.
 - b. Establishes new RDT&E program element, project, or subproject of \$2 million or more.
- Terminations.
 - a. Eliminates a procurement program, subprogram, or modification of \$10 million or more.
 - b. Eliminates an RDT&E program element, project, or subproject that is equal to the total amount of the program element.
 - c. Eliminates an RDT&E project or subproject within a program element of \$10 million or more.

3. DD 1415-3, Internal. Reprogramming actions internal to DoD are audit-trail type actions processed within DoD and approved by the Comptroller and are not otherwise constrained by law or other provisions. They:

- Do not change the purpose or congressional intent.
- May use general transfer authority.
- May involve a congressional special interest item if the funds will be used for the same purpose.
- May reprogram funds from Transfer accounts (such as, Foreign Currency Fluctuations, Environmental Restoration, and Drug Interdiction).
- May increase procurement quantities when specific congressional language allows additional quantities within the appropriated funds.
- May document transfers identifying specific line items when a letter notification is being used to satisfy congressional or specific transfer notification requirements.

4. Notification letter. Advance notification letters are transmitted directly by the DoD Component or the Director of Central Intelligence, with prior OUSD(C) coordination, to the congressional committees for notification of:

- Below threshold reprogramming for new programs or line items not otherwise requiring prior approval or notification action.
- A new program, subprogram, modification, project, or subproject whose total cost (both procurement and RDT&E) is less than \$2 million.
- Safety modifications whose total cost (both procurement and RDT&E) is less than \$10 million for the entire effort.
- Terminations falling within the below threshold reprogramming amounts for procurement programs or subprograms costing less than \$10 million as long as the procurement line item is not eliminated.
- Terminations under \$10 million for any RDT&E program, project, or subproject as long as the program element is not eliminated.
- Transfers identifying specific line items when a letter notification is being used to satisfy congressional or specific transfer notification requirements

Transfer Authority. Specific congressional statutory authority is required to transfer funds between appropriations and between legal subdivisions within an appropriation. DHP, IG, and SCN are examples of appropriations with legal subdivisions. The section describing the transfer in a public law is the transfer authority. General transfer authority (GTA) is most commonly used. Section 8005 of P.L.107-117, the DoD Appropriations Act, 2002, and section 1001 of P.L.107-107, the National Defense Authorization Act for FY 2002, apply to FY 2002 funds. Section 8005 of P.L. 106-259, the DoD Appropriations Act, 2001; and section 1001 of P.L.106-398, the Floyd D. Spence National Defense Authorization Act for FY 2001, apply to FY 2001 funds, and so on. FY 2002 GTA is used for transfers only between FY 2002 appropriations. FY 2001 GTA is good for transfers only between FY 2001 appropriations, and so on. For FY 2002, transfers up to \$2.0 billion can be made using FY 2002 GTA. Transfer authority is available only for the fiscal years that the appropriation is available for new obligations (i.e., there can be no transfers between appropriations in prior years because there is no authority to do so). In addition to GTA, the most common types of transfer authority available are: Environmental Restoration, Contingency Operations, Foreign Currency Fluctuations, Drug Interdiction, Civil Military, Intelligence (sec 104d/104f, for example), and special Title 10 or Title 50 authorities. When using these authorities, GTA is not used or affected.

Summary of Reprogramming Requirements

DD 1415-1 Prior Approval (PA) Reprogramming Actions

1. Procurement quantity increase of a major end item (unless specific congressional language allows additional quantities).
2. Affects a congressional special interest item (unless the funds will be used for the same purpose; then an IR is used). Exception: RDT&E, DW Ballistic Missile Defense Agency < \$10 million.
3. Involves the use of general transfer authority (GTA) (unless the funds will be used for the same purpose; then an IR is used).
4. Exceeds thresholds.
 - a. Military Personnel: Increase of \$10 million or more in a budget activity.
 - b. Operation and Maintenance (O&M): Increase of \$15 million or more in a budget activity.
Exception is the Defense Health Program O&M; PA is required for cumulative transfers in excess of \$25 million into the Private Sector Care activity group.
 - c. Procurement: For any program year:
 - (1) Increase of \$10 million or more in a procurement line item;
 - (2) Decrease of \$10 million or more; or 20 percent of the appropriated amount, whichever is greater;
 - d. RDT&E: For any program year.
 - (1) Increase of \$4 million or more in an existing program element;
Exception is the Ballistic Missile Defense Agency; PA is required for increases greater than \$10 million.
 - (2) Decrease of \$4 million or more; or 20 percent of the appropriated amount, whichever is greater.
5. New Starts.
New procurement program, procurement subprogram, RDT&E program, RDT&E project, or RDT&E subproject estimated to cost \$10 million or more within the first 3 years. Exceptions are safety modifications costing less than \$10 million.
6. New Line Items (for any program year).
 - a. Establishes new procurement line item, subprogram, or modification of \$2 million or more.
 - b. Establishes new RDT&E program element, project, or subproject of \$2 million or more.
7. Terminations.
 - a. Eliminates a procurement program, subprogram, or modification of \$10 million or more.
 - b. Eliminates an RDT&E program element, project, or subproject that is equal to the total amount of the program element.
 - c. Eliminates an RDT&E project or subproject within a program element of \$10 million or more.

DD Form 1415-3 Internal Reprogramming Actions

1. Realigns funds to a different line item or appropriation for proper execution of the same requirement (no change in purpose) (can involve GTA) (may involve congressional special interest items).
2. Transfer of funds from the transfer accounts - Foreign Currency, Environmental Restoration, Drug Interdiction, Overseas Contingency Operations Transfer Fund, etc.
3. Approves increases to procurement quantities for major end items, not otherwise requiring prior approval of the congressional committees.
4. Documents transfers identifying specific line items when a letter notification is being used to satisfy congressional or specific transfer notification requirements.

Notification Letters (in advance of initiating)

1. New programs or line items not otherwise requiring prior approval action.
2. New programs, including modifications, costing less than \$2 million for the entire effort.
3. Safety modifications costing less than \$10 million for the entire effort can be initiated in advance of the congressional notification.
4. Program termination of programs falling within the below threshold reprogramming amounts (procurement programs or subprograms costing less than \$10 million; RDT&E programs, projects, or subprojects costing less than \$4 million) as long as the procurement line item or program element is not eliminated.
5. Specific line items to satisfy specific transfer notification requirements.